

SAM-CAAM:

A Concept for Acquiring Systematic Aircraft Measurements to Characterize Aerosol Air Masses

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Abstract

50 A modest *operational* program of systematic aircraft measurements can resolve key satellite-aerosol-data-record limitations. Satellite observations provide frequent, global aerosol-amount maps, but offer only loose aerosol property constraints needed for climate and air quality applications. We define and illustrate the feasibility of flying an aircraft payload to measure key aerosol optical, microphysical, and chemical properties *in situ*. The flight program could
55 characterize major aerosol air-mass types statistically, at a level-of-detail unobtainable from space. It would: (1) enhance satellite aerosol retrieval products with better climatology assumptions, and (2) improve translation between satellite-retrieved optical properties and species-specific aerosol mass and size simulated in climate models to assess aerosol forcing, its anthropogenic components, and other environmental impacts. As such, Systematic Aircraft
60 Measurements to Characterize Aerosol Air Masses (SAM-CAAM) could *add value to data records representing several decades of aerosol observations from space, improve aerosol constraints on climate modeling, help interrelate remote-sensing, in situ, and modeling aerosol-type definitions*, and contribute to future satellite aerosol missions.

65 Fifteen Required Variables are identified, and four Payload Options of increasing ambition are defined, to constrain these quantities. “Option C” could meet all the SAM-CAAM objectives with about 20 instruments, most of which have flown before, but never routinely several times per week, and never as a group. Aircraft integration, and approaches to data handling, payload support, and logistical considerations for a long-term, operational mission are discussed. SAM-CAAM is feasible because, *for most aerosol sources and specified seasons, particle properties tend to be repeatable*, even if aerosol loading varies.
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Capsule: SAM-CAAM aims to characterize particle properties statistically with systematic, aircraft *in situ* measurements of major aerosol air-masses, to refine satellite
75 data products and to improve climate and air quality modeling.

1. Introduction

80 Since 1995, Inter-governmental Panel on Climate Change (IPCC) assessment reports have highlighted, as leading uncertainties in understanding Earth's climate, the direct impact of airborne particles on the planetary energy balance, and the indirect effects they have on clouds, atmospheric stability, regional circulation, and the hydrologic cycle. For example, the confidence with which future climate can be predicted depends to first order on the
85 relationship between the near-surface warming response and the radiative forcing, primarily by greenhouse gases and aerosol effects. This relationship is characterized, in its simplest form, as a linear factor – the climate sensitivity. The quantity is determined using present-day and retrospective values of forcing and response; currently, the largest uncertainty in climate sensitivity is due to uncertainty in the aerosol forcing [IPCC, 2013;
90 Schwartz *et al.*, 2014; Forster, 2016].

Further, the presence of aerosols often necessitates large corrections to other space-based measurements of independent parameters, such as ocean color and productivity [e.g., Gordon, 1997], and they cause greater premature mortality than ozone, NO_x, or other pollutants [Lelieveld *et al.*, 2015]. Frequent, global aerosol-air-mass-type mapping, of value
95 itself for air quality, material transport, and other applications, also represents critical test, validation, and constraint data for climate modeling. Here, we expand the definition of "aerosol type" normally used in satellite remote sensing, which covers those categorical

distinctions among particle components and mixtures that can be made from optical constraints, of varying sensitivity, to particle size, shape, and spectral absorption. To these we
100 add particle hygroscopicity, mass, and composition, which are critical for treating aerosol direct and indirect forcing in climate models and for air quality applications. These additional characteristics cannot be derived from remote sensing alone, and thus require *in situ* measurement. Further, measurements of these quantities make it possible to better represent aerosol light absorption properties needed to address many radiative and dynamical questions,
105 yet cannot be retrieved with sufficient accuracy from satellite observations.

Single-view satellite instruments, such as the NASA Earth Observing System (EOS) MODerate Resolution Imaging Spectroradiometer (MODIS) and the Visible Infrared Imaging Radiometer Suite (VIIRS), retrieve primarily aerosol optical depth (AOD), a measure of aerosol
110 column amount, while providing little or no constraint on aerosol type, except via AOD spectral dependence over water. Retrieval algorithms for these instruments must assume aerosol scattering and absorption properties to derive even AOD from measured radiances [e.g., *Levy et al.*, 2007]. Several other space-based instruments have demonstrated greater capability to map aerosol air-mass types globally. About a dozen aerosol types can be distinguished under good
115 retrieval conditions from the EOS Multi-angle Imaging SpectroRadiometer (MISR). The multi-angle, multi-spectral data reflect *qualitative* differences in retrieved particle size, shape, and single-scattering albedo [*Kahn et al.*, 2010; *Kahn and Gaitley*, 2015]. The EOS Cloud-Aerosol Lidar and Infrared Pathfinder Satellite Observations (CALIPSO) two-wavelength lidar can identify six aerosol types from attenuated backscatter, volume depolarization ratio, plus some
120 general geographical constraints, amounting to qualitative, vertically resolved classifications [*Omar et al.*, 2009]. Adding polarization to multi-angle, multi-spectral passive remote sensing, e.g., with the European Space Agency's Polarization and Anisotropy of Reflectances for

Atmospheric Science coupled with Observations from a Lidar (PARASOL) or a next-generation satellite instrument, promises to improve the number of aerosol air-mass type distinctions that
125 can be made, and to broaden the range of conditions under which such mapping can be done [Mishchenko and Travis, 1997; Hasekamp and Landgraf, 2007; Dubovik et al., 2011]. Yet, even these remote-sensing improvements are unable to fully constrain aerosol characteristics treated in advanced climate models.

130 Aerosol properties retrieved from surface-based remote sensing, such as those from the AERosol robotic NETwork (AERONET) sun photometers, make important contributions to aerosol type climatology [e.g., Dubovik et al., 2002]. But in addition to affording only sparse spatial sampling, they suffer from uncertainties and limitations common to most passive retrieval techniques, as they report only column-effective rather than layer-resolved or component-resolved properties. For most aerosol properties, AERONET also requires solar zenith angle >
135 50° and total-column AOD at 440 nm (AOD_{440}) > 0.4 to obtain good-quality constraints (which at most locations skews the sampling toward the highest AOD conditions), and must assume the indices of refraction for all but one aerosol mode in the column [Dubovik and King, 2000].

140 At present, it seems unlikely that particle microphysical and chemical properties can be retrieved from remote-sensing measurements alone at the level-of-accuracy required to substantially reduce uncertainties in total direct aerosol radiative forcing (DARF), its anthropogenic component, aerosol-cloud interactions, horizontal material transports, surface-atmosphere aerosol fluxes, and air-quality related applications [e.g., IPCC, 2007; 2013]. For
145 example, it is estimated that constraining DARF to $\sim 1 \text{ W/m}^2$ requires mid-visible AOD and ***single-scattering albedo*** (SSA), both dimensionless quantities, to be known to an accuracy of ~ 0.02 [McComiskey et al., 2008; CCSP, 2009; Loeb and Su, 2010], which is beyond the

capabilities of current satellite instruments. SSA is helpful for qualitative aerosol source-attribution such as identifying anthropogenic components, and is key to simulating atmospheric
150 heating profiles and cloud evolution, especially in polluted or smoky environments, as well as broader effects on atmospheric circulation and regional water cycles. However, even advanced future remote-sensing instruments will only loosely constrain SSA. Nor can near-surface speciation for health effects be derived solely from remote-sensing data. ***Mass extinction efficiencies*** (MEEs) are required to translate between remote-sensing-derived particle optical properties and aerosol mass, the fundamental quantity tracked in air quality, aerosol-transport, and climate models. However, MEEs must be derived from *in situ* particle composition and size distribution measurements; otherwise they are estimated by modeling these factors, or simply assumed. Lacking direct measurements for validation in most cases, only very loose bounds exist on MEE values and uncertainty. For example, the MEE for black carbon (BC) particles
155 assumed globally within 20 leading AeroCom aerosol transport models ranges from 5.3 to 18.9 $\text{m}^2 \text{ g}^{-1}$, for dust the values range from 0.46 to 2.05 $\text{m}^2 \text{ g}^{-1}$, and even for sulfate, the MEE values adopted vary by a factor of seven [CCSP, 2009, Table 3.2; Kinne *et al.*, 2006]. Yet available measurements are unable to resolve these differences, much less to provide the range of likely values for BC and other particle types from different sources or of different exposure ages.
160 Similarly, ***hygroscopicity*** (particle water uptake), required to account for humidity-dependent particle optical property changes as well as particle activation conditions that mediate cloud formation, cannot be derived from remote-sensing observations except under special conditions [e.g., Pahlow *et al.*, 2006; Rosenfeld *et al.*, 2016], and there is very limited data covering the range of likely values for different particle types in different situations.
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So there remains a need for better particle optical, microphysical, and chemical property constraints, including region- and source-specific SSAs, hygroscopicities, and MEEs needed to

constrain climate and air quality models, and to improve the linkages between satellite data and models. However, for most aerosol sources and specified seasons, *emitted and evolved particle microphysical and chemical properties tend to be repeatable*, due to relatively unchanging fuel or reservoir type and other persistent environmental factors. For example, the amounts of wildfire smoke from Alaskan boreal forests and desert dust from the Bodele Depression vary dramatically over time, but the particle properties at each of these sources remain relatively constant, because they arise from the same material, via the same physical mechanisms. Similarly, particle evolution downwind, due to chemical reactions, changes in hydration state, and/or changes in microphysical properties through processes such as coagulation, tends to be mediated by climatologically similar environmental conditions. These important simplifying attributes mean that an airborne observing program designed to routinely measure particle properties *in situ* could capture probability distribution functions (PDFs) of particle intensive properties (i.e., properties that do not depend on the amount of aerosol), characterizing the major aerosol air-mass types in the detail needed to adequately address the major aerosol and climate-related questions. An additional advantage of aircraft observations is that flight plans can be designed to sample both near-source and downwind, to capture at least the typical changes particles undergo.

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Several aircraft campaigns have demonstrated the value of making systematic aerosol measurements, and to an extent, the feasibility of an operational aircraft program targeting aerosol properties [e.g., *Andrews et al.*, 2011; *Sheridan et al.*, 2012; *Matvienko et al.*, 2014]. Both *in situ* and some surface remote-sensing measurements to date do provide important constraints that are used by the satellite community in aerosol retrieval algorithms [e.g., *Levy et al.*, 2007; *Omar et al.*, 2009; *Kahn et al.*, 2010; *Russell et al.*, 2014; and many others]. Some aircraft field campaigns have deployed instrument packages that include a large fraction of the

implied measurement suite; however, comprehensive and extensive statistical characterization of aerosol type has not been their primary focus. For example, quantities such as MEE are generally not constrained in these experiments, and the level-of-effort required to sample many aerosol types multiple times is typically beyond the scope of such campaigns. Systematic Aircraft Measurements to Characterize Aerosol Air Masses (SAM-CAAM) aims at filling this need, taking advantage of technological advances, and motivated in part by the increasingly long satellite aerosol data record.

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A database of aerosol-air-mass-specific particle optical, microphysical, and chemical property PDFs, combined with frequent, global aerosol air-mass type maps derived from satellite observations and surface measurements where available, would provide the next major advance in constraining chemical transport models used to calculate the regional and global radiation fields, material fluxes, and climate impacts [e.g., Kahn, 2012]. It would improve the aerosol products derived from current satellite observations by providing better aerosol climatology assumptions for the retrieval algorithms. In addition, measurement-based MEEs, would place the integration of satellite-retrieved optical properties with aerosol transport, air quality, and climate models on more solid ground, adding considerable value to several decades of existing satellite aerosol data. The SAM-CAAM data would thus allow the field to advance significantly even with existing satellite data, and would provide context and impetus for future space-based aerosol missions.

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What follows is a concept paper. Having discussed the need for certain systematic constraints on aerosol properties, Section 2 identifies the variables required to meet the SAM-CAAM objectives, and discusses the feasibility of implementing such a project by identifying some example instrument technologies and broader payload options capable of making the required

measurements. Section 3 covers mission-related factors such as the possible organization for an operational aircraft program, flight planning, and data handling, distribution, and analysis.

225 Prospects for achieving the goals of SAM-CAAM are summarized in Section 4.

2. Implementation

SAM-CAAM can integrate with available satellite data records and ongoing chemical transport modeling programs, as part of the overall effort to characterize the environmental roles aerosols play. The aircraft-measurement component aims to obtain layer-resolved aerosol microphysical and chemical properties, to the extent possible within the constraints of a single, relatively small aircraft. The larger goal is to acquire enough *in situ* measurements of major aerosol air-mass types to construct PDFs of their key properties. This effort draws upon the aerosol aircraft community to provide instruments and data products, the satellite measurement and aerosol modeling communities to offer context for the measurements and to develop climatologies of aerosol-air-mass-type space-time distribution. It requires the combined expertise of all these communities to interpret the data, assess tradeoffs as needed to efficiently meet the observational objectives, and implement the results in a range of applications. In general, satellites can map the distribution of aerosol air masses, the *in situ* data can contribute the microphysical and chemical detail associated with these air masses, and models can interpolate and extrapolate based on physical and chemical principles and parameterizations to create a consistent picture.

245 2.1. Required Variables

Several overriding considerations mediate the specification of Required Variables. These are motivated by the need to constrain specific aspects of satellite aerosol retrievals, and of applying satellite data to models, as summarized in Table 1. They were determined prior to consideration
250 of any particular measurement technologies. As multiple aerosol types commonly reside at different elevations within the atmospheric column, the SAM-CAAM *in situ* measurements must be *layer-resolved*. To the extent possible, they should be *aerosol-component-resolved*, or at least *size-resolved* into fine and coarse fractions, to isolate the unique properties of aerosols within layers having different origins and histories. (“Coarse-mode” aerosols are generally considered
255 to have diameter $> 1 \mu\text{m}$, and tend to be dominated by mineral and soil dust, as well as sea salt, whereas “fine-mode” usually means sub-micrometer aerosols, such as most smoke, biogenic, and pollution particles.) To capture the diversity in particle optical properties, the observations need to be *wavelength-resolved*, providing at least three values spanning the spectral range $\sim 440 - 870$ nm for reflected solar radiation retrievals, down to ~ 350 nm and up to ~ 1.6 or even $2.3 \mu\text{m}$ if
260 possible. To translate among different humidity conditions, both ambient and instrument-specific, and to provide key information for particle hydration and aerosol-cloud-interaction analysis and modeling, the relative humidity (RH) dependence of aerosol extinction, absorption, and scattering properties is needed. And, as inlet sampling biases become progressively more severe for particles larger than $\sim 1 \mu\text{m}$ in aerodynamic diameter (i.e., coarse-mode particles),
265 measurements made outside the aircraft should be included where possible.

To address these broad requirements, we identified a total of 15 Required Variables. We organized them into three groups, to provide a convenient way of representing some fundamental differences in the types of measurements involved:

I. Aerosol properties obtained from the integrated analysis of *in situ* measurements made
within the aircraft

II. Variables providing ancillary, meteorological context

III. Quantities providing ambient remote-sensing context, made directly (except the layer
height, which is made by remote sensing)

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The Required Variables and their relevance to the SAM-CAAM objectives are summarized in Table 1. The *in situ measurement suite* obtains key aerosol properties through direct measurement of many quantities under controlled conditions within the aircraft. Some values that cannot be measured directly, such as aerosol mass extinction efficiency, are derived through the integrated analysis of measured quantities. As such, there is no one-to-one correspondence between required variables and measurement technologies. The integrated analysis aims to derive quantities in as many ways as possible, to improve quality assessment and validation, and to assess uncertainties.

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The *variables providing meteorological context* are needed to relate the measured and derived aerosol properties to the conditions in which the particles reside, and the *quantities providing remote-sensing context* are needed to remove ambiguities and limitations of the within-aircraft measurements, by making some measurements under ambient conditions. So, for example, if the spectral extinction coefficient is measured under ambient conditions, the value can be compared with the extinction coefficient measured under controlled RH conditions after calculating the implied hydrated particle properties at ambient RH using the measured RH and Particle Hygroscopic Growth Factor. Similarly, large particles will be better represented in the ambient measurements, and particle-size-dependent inlet efficiency affecting the in-aircraft instruments

295 can be assessed, which is especially important if only a passive inlet is available for within-aircraft measurements.

2.2. Payload Options

300 An instrument payload that can be flown *routinely* and relatively *economically* at least several times per week would be assembled, targeting the Required Variables listed in Table 1. (An aerosol-related aircraft program of this type, but with somewhat different objectives and a smaller payload was successfully demonstrated in the past by *Andrews et al. [2011]*.) SAM-CAAM would build upon this experience. To mitigate the challenge of acquiring the needed resources, and to avoid the conundrum of ever-increasing project requirements (“mission creep”), we identified four payload options of increasing ambition, with the understanding that for most measurements, a final payload will probably fall somewhere between an “Option A” technology that might barely help constrain a Required Variable, and an “Option D” capability that could exceed the demands of the primary SAM-CAAM objectives.

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Just to test the feasibility of the SAM-CAAM concept, we first assembled a substantial list of instrument options for each required measurement, and then assessed the “latitudinal tradeoffs,” a process aimed at identifying up to four technologies that could address each required variable to different degrees of accuracy and/or completeness. To close the notional payload options definition process, we subsequently evaluated the “longitudinal tradeoffs,” which amounted to assessing the capabilities and technical resource costs (weight, power, aircraft integration requirements, and degree of autonomy) for each payload option overall, and reconsidering the selected example technology options, aiming for balance between the relative contributions of each measurement to the fundamental goals of SAM-CAAM and the associated resource

320 requirements. So rather than a single “Science Traceability Matrix” identifying the connections
between specific science objectives, measurement requirements, and technologies, this process
resulted in effectively four such matrices, offering a broad spectrum of mission and de-scope
options that meet the SAM-CAAM objectives to varying degrees. A summary of some
candidate instruments for each example payload option, based on the results of this exercise, is
325 given in the Supplemental Material.

330 Payload Option A identifies available technologies that minimally address in some way the required variables but in most cases do not actually meet the spirit or the letter of the SAM-CAAM objectives. Specifically, particle optical properties would be acquired only at a single wavelength, particle mass required to derive MEE is not obtained, and coarse-mode particles, such as the dominant components of most natural dust and sea-salt aerosol size distributions, would not be sampled effectively beyond an Environmental Protection Agency (EPA) PM_{2.5} standard [e.g., *McNaughton et al.*, 2004]. (Appendix 1 is an acronym list.) Thus, Payload Option A provides a useful lower bound on a payload definition effort, but it lacks sufficient capability to meet the SAM-CAAM objectives.
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340 Option B would meet the SAM-CAAM requirements, but only for fine-mode aerosols. It includes multi-spectral and particle mass constraints, along with RH-dependence for #6 PHA particle phase function (See Table 1 for the abbreviations and number designations of the Required Variables), and ground-based sun photometer and lidar to provide some integral constraints on the *in situ* measurements, at least at one location. However, the aircraft must fly vertical spirals to determine the elevation of aerosol layers elsewhere, and the passive inlet together with the Option B *in situ* instrument suite leave the aerosol coarse mode under-sampled for several variables, and un-sampled for most. Among the optical properties measured

345 internally, size cuts are not provided. An external cloud probe #14 A-CLD would report ambient
sub- and super-micrometer fractions, but not properties, so only some indication of the un-
sampled particle types would be available.

Payload Option C includes an active inlet, which enables coarse-mode particle sampling from
350 within the aircraft [Huebert *et al.*, 2004]. As such, this option essentially meets the key SAM-
CAAM objectives. Size-cuts would be provided for #1 EXT, #2 ABS, and #3 GRO, and #4 SIZ
would be enhanced to include sensitivity to an EPA PM₁₀ standard. Option C would also provide
significantly improved sensitivity to black carbon for #2 ABS, and particle shape information
from #14 A-CLD, which would identify mineral dust. An airborne backscatter lidar is included
355 in Option C for #15 HTS, a substantial advantage for flight planning, as the elevations of layers
to be sampled would be obtained without flying multiple vertical spirals.

Payload Option D offers capabilities that could be of great significance to aerosol-climate and
air quality research in general, but extend beyond those required to meet the main SAM-CAAM
360 objectives. For example, several airborne remote sensing instruments could be included, such as
an SSFR and/or mini 4-STAR for #12 A-EXT & A-ABS, and airborne HSRL for #15 HTS. (If
deployed on a single aircraft, the flight planning strategy for a payload including both *in situ* and
remote sensing instruments would be challenging, due to competing observing requirements.)
With existing technologies, #1 EXT could be measured in the UV and NIR in addition to visible
365 wavelengths, #2 ABS could be measured more directly, #3 GRO hygroscopicity could be
isolated to specific aerosol components, more redundancy and/or tighter constraints could be
obtained for #4 SIZ, #5 CMP, #6 PHA, #10 RH, #13 A-PHA, and #14 A-CLD, and organic
aerosol precursor gases could be measured for #9 Tracers. These options are included in
Supplemental Table S1 to illustrate the possibilities, in case support to deploy one or more such

370 advanced instruments become available for other reasons, and provided the added operational requirements do not detract from the primary mission objectives. Alternatively, such enhanced capabilities might be part of independent payloads flown separately as part of field campaigns, with which SAM-CAAM might coordinate, as appropriate, when the opportunity arises.

375 Payload Option C best meets the SAM-CAAM objectives. We list example instrument types for this option after each variable in Table 1, to illustrate the possibilities. As the majority of aerosol extinction is found at altitudes <5 km, an aircraft capable of extensive, efficient operation at low-to-mid altitude would be favored for the SAM-CAAM objectives, and the slower aircraft speeds of a turboprop compared to a turbojet aircraft would reduce sampling artifacts. A
380 preliminary evaluation of instrument space, weight, and power requirements, based on the notional payload in Table S1, suggests that the Payload Option C would be too large for a Twin Otter-sized aircraft and would not effectively use the much larger capacity of a P-3 Orion. In Supplemental Material we present a strawman integration scenario on a Shorts C-23B Sherpa aircraft to demonstrate the feasibility of accommodating Payload Option C in aircraft of this
385 class.

3. Mission-related Considerations

390 Unlike typical aircraft field campaigns, SAM-CAAM must be organized to support routine operations, continuing over many months or years to obtain adequate sampling over major aerosol air-mass types. As such, site selection and flight planning must be streamlined, and instrument maintenance, data handling, and deployment decision-making need to function as seamlessly as possible. Mission design must aim to limit high-risk activities along the critical

data acquisition path, and to avoid potential data-handling bottlenecks as much as possible.
395 Initial considerations in these areas are outlined in this section.

3.1. Deployment Site Selection and Completion Strategies

The SAM-CAAM program would begin by sampling the aerosol air-mass types accessible
400 from the payload integration site, possibly NASA's Wallops Flight Facility (WFF) in Virginia,
where the host aircraft might originate. Starting operations at the instrument integration site
would facilitate a convenient shakedown and testing period for aircraft, payload, and data
system. WFF, for example would provide access to aerosol air-mass types from the Central,
Eastern, and Southeast United States, including sources from several large urban areas, biomass
405 burning and biogenic particles from Canada and the southeast US, primarily in summer [e.g.,
Clarke et al., 2007], maritime particles from the Atlantic, and soil dust from points west,
especially in spring [Supplemental Material, Fig. S1].

As this is an endeavor of global scope, the value of the SAM-CAAM measurements increases
410 multifold as more aerosol air masses are characterized. So after studying the region accessible
from a given site, the aircraft would move to another base of operations, sample the aerosol air-
mass types accessible from that location, and continue. The aircraft could be stationed
successively at about three to four sites per year, for approximately 12 weeks at each, and might
target as many as four or five aerosol air masses from judiciously selected sites. As such,
415 subsequent deployment sites would be selected based on monthly, global maps of aerosol air-
mass type climatologically likely locations derived from aerosol transport modeling, combined
with knowledge of suitable basing facilities. Locations from which three or more regionally to
globally important aerosol air-mass types could be sampled would be preferred. As an example,

Figure S1 in Supplemental Material shows the climatological AOD within ~500 km of the
420 NASA WFF, for six aerosol types during the spring and summer seasons, as simulated by the CAM5 model [Liu *et al.*, 2012]. Black Carbon, primary and secondary organics, and sulfate are maximal in this region during the summer, whereas mineral dust and sea salt peak in spring. A formal approach could include combined principal component analysis of the daily model-simulated or satellite-retrieved burdens of multiple aerosol components in candidate deployment
425 regions [e.g., Li *et al.*, 2013].

The decision about when an aerosol air-mass type has been adequately sampled by the aircraft would be based primarily upon adaptive criteria, as such criteria might be required to obtain statistically representative results, e.g., once the variance in the accumulated PDFs of the key
430 measured quantities diminishes below certain values. However, a combination of adaptive criteria and practical considerations would probably be needed, whereby an absolute criterion, determined from deployment site availability, cost, and seasonal meteorology, would limit the maximum duration of the deployment at a given station, and adaptive criteria would help set the targeting frequency for different aerosol air-mass types accessible to the aircraft from that
435 station. As a very rough estimate, an average of three flights per week, at about six hours per flight, for eight weeks of flying amounts to just under 150 hours per deployment site.

3.2. Flight Planning

440 A relatively simple flight planning process is needed to facilitate routine operations. As such, nominal flight plans targeting the climatological locations of each accessible aerosol air mass would be pre-determined for a given deployment site. These would also overfly any relevant ground stations, such as AERONET, lidar, or radiation-measurement sites, where appropriate. A

day before flights, a designated *Lead Planner* would review meteorological data, available aerosol model predictions, and status of the sampling history, and select a primary and possibly a backup flight plan. The selection, along with a brief rationale, would be posted to the SAM-CAAM website by a specified hour before the flight, for any comments from the team. Nominal flight plans would entail flying out at high altitude to obtain aerosol layer heights from, e.g., the airborne, nadir-viewing lidar of Payload C, then sampling the layers systematically, generally from near-source to some distance downwind to capture particle evolution, and then returning to the airfield. As needed, adjustments to the pre-determined flight plans would be identified in advance of implementation to the extent possible, to limit the complexity of the flight operations routine. Data download to the ground might be required to make any real-time flight decisions. The payload could occasionally also be flown within the field-of-view of satellite instruments, to allow inter-comparison and, to the degree possible, cross-validation of *in situ* and remote-sensing results [e.g., Kahn *et al.*, 2004; Reidmiller *et al.*, 2006]. However, satellite coordination would not be required to meet the primary objectives of SAM-CAAM, and, e.g., the required *in situ* sampling would be possible under non-precipitating, cloudy conditions. Brief deployments could study nearby targets-of-opportunity, such as major wildfires, or allow participation in larger, shorter-term field-campaign efforts that include multiple aircraft and address a broader range of scientific objectives, including column-radiation-closure. However, the SAM-CAAM program would not be contingent upon such opportunities.

3.3. Instrument Maintenance

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Unlike many field campaigns, SAM-CAAM will require instruments that can make reliable measurements with a small technical staff to maintain the payload most of the time. The individual instrument teams would assist with the initial installation and debugging of instrument

protocols, and would train the payload technicians in any required pre- or post-flight check-out, 470 cleaning, and reporting procedures, routine calibration, or other maintenance. More substantial servicing or emergency repairs would have to be dealt with by the instrument teams as needed.

As typical turnaround times for addressing small instrument anomalies and performing routine maintenance are 1-3 days, two or three flights per week could be reasonably 475 accommodated by a dedicated two-or-three-person technical ground crew for payload options up to Option C. One of the challenges presented by Payload Option D is that many advanced instruments require considerably more scientist and/or technician involvement in the field.

3.4. Data Acquisition, Product Generation, and Distribution

SAM-CAAM flights would generate a wealth of science data from a suite of about 20 instruments, covering aerosol microphysical, optical, and chemical properties as well as related 480 gas-phase tracers, meteorological parameters, and aircraft state variables. Management of the SAM-CAAM data will build upon experience from NASA satellites, field campaigns, and surface networks. The overarching goals are to operationally generate high-quality, integrated 485 data products having well-characterized uncertainty values, to preserve the resulting scientific data records, to quickly distribute data products to the research community, and to maintain adequate documentation.

The SAM-CAAM aircraft would be equipped with a central data system similar to those on other NASA research aircraft, to facilitate data communication and feed standard UTC time and 490 aircraft location to each instrument. In addition, a data server would be required to store the output from each instrument, including the primary output and ancillary data needed for data

processing. This will streamline and automate the data transfer process to a ground-based central
495 processing server after each flight. The total data volume is estimated to be less than 10 TB per
year. The onboard data server would also be used to stream limited data sets to instrument and
flight scientists on the ground or in the aircraft. This information allows for any real-time
decisions required by the flight scientist for better execution of the flight plan.

500 Following the NASA EOS model, most SAM-CAAM data would be processed at a central site
such as the Atmospheric Science Data Center (ASDC) at the NASA Langley Research Center to
facilitate operational throughput, using instrument-team-developed algorithms and software.
Instrument Principal Investigators (PIs) would be responsible for delivering standard product-
generation code, and updating it as needed. The PIs would also be responsible for maintaining
505 their data processing codes at their home institutions, for algorithm development, testing, and
validation.

510 Data products would be routinely posted and made available through the project web site,
much the way the AERONET sun and sky scanning photometer network operates [*Holben et al.*,
1998; <http://aeronet.gsfc.nasa.gov/>]. Preliminary data would be released to the instrument teams,
until the minimum time required to routinely generate good-quality data is determined. These
data would be used primarily to check instrument performance and provide a quick look at the
sampled aerosol layers. After a shake-down period, the SAM-CAAM project would aim to
release initial data products to the community with a latency of between about 24 hours and a
515 week, and final products within about three-to-six months of each flight, on a continuing basis.
This is an aggressive schedule compared to typical airborne field campaigns, but is preferred due
to the operational nature of the data stream. The SAM-CAAM data products could be released in
both ICARTT and netCDF formats.

520 The SAM-CAAM data products would be archived at an assigned data center chartered for long-term preservation and distribution of satellite and airborne atmospheric Earth Science data. To enhance data usability, the assigned center would create merge data sets with aircraft navigational data so that all data products would be geo-located, as is done for many field campaign measurements (e.g. SEAC4RS, DISCOVER-AQ). Web-based tools for searching, 525 downloading, and merging tools (similar to those at <http://tad.larc.nasa.gov>) would be developed or adopted, tailored to the SAM-CAAM data sets. In addition, visualizing, and sub-setting tools would be developed to handle the SAM-CAAM-specific data sets as needed. Sub-setting would be based on geographical, temporal, and aerosol air-mass-type criteria.

530 **3.5. Integrated Data Analysis**

Some quantities will need to be derived from several coincident measurements, such as #7 MEE, which is obtained from #1 EXT and #5 CMP. Integrated Analysis algorithms can also derive certain quantities several different ways, depending on measurement redundancy in the 535 payload. Independent derivations would make advanced error and uncertainty analysis possible, and would contribute to data quality assessment. The example of the ambient spectral extinction coefficient is given in Section 2.1 above, assuming Payload C is flown. Over-flights of surface remote-sensing stations and occasional coordination with other aerosol aircraft campaigns could provide independent measurements needed to assess the overall quality of the *in situ* data, and 540 could help determine whether the required variables are being measured with sufficient accuracy [e.g., *Moore et al., 2004*].

Subsequent data analysis would include studying the detailed aircraft products in the context of corresponding satellite and aerosol transport model interpretations of the aerosol air-mass types sampled by the flights. This consideration helps motivate a near-term schedule for beginning SAM-CAAM operations, as several current satellite instruments capable of making large-scale aerosol air-mass type observations, such as MISR and CALIPSO, are operating well beyond their design lives. The data analysis effort would evolve, with the aim of gaining experience at merging spacecraft, suborbital, and model results into a more complete and accurate picture of atmospheric aerosols and their environmental impacts.

3.6. Payload and Deployment Program Evolution

A shakedown period would be required for the payload and data stream, in some cases initially 555 in the laboratory, and then after aircraft integration. For example, the absorption coefficient of coarse-mode-dominated dust aerosols measured by filter-based absorption instruments such as the CLAP would need to be verified in lab tests, because their response to dust aerosols, and the associated correction algorithms, might not yet meet SAM-CAAM requirements. The integrated instrument suite would then need to be operated during flight and inlet-to-instrument lag times 560 determined, so aerosol-type coincidence can be established, size-specific particle losses or enhancements evaluated to the extent possible, and data processing, quality assessment, and integrated analysis schemes tested and refined. Several iterations would likely be required before the payload is ready for routine research flights.

565 Some instrument development, aimed for example at miniaturization, more autonomous operation, increased accuracy, or lower maintenance requirements, could contribute to the evolution of the payload, and might be motivated by the limitations of existing technology

options. Occasional payload upgrades might be implemented as improved technologies become available. It is critical to the overall success of a SAM-CAAM effort that the measurements be
570 traceable and repeatable, so *potential replacement instruments would initially be flown in tandem with the existing instruments; coincident data would be collected and evaluated to assure continuity of the data record.* As such, the aircraft would need to have modest excess capacity to accommodate temporary payload expansion.

575 Continuing, high-level strategic decisions about the evolution of the aircraft payload and deployment program would be made by a *Project Science Panel*, responsible for the overall success of the SAM-CAAM effort, led by a *Project Scientist*. This group could include the Instrument PIs, modelers, satellite and surface measurement scientists, and other key participants with expertise relevant to all aspects of the measurement and analysis effort.

580

4. Prospects

The primary objectives of SAM-CAAM are to develop a statistical database of major aerosol air-mass-type properties, to improve and add detail to the assumptions made in aerosol remote-sensing retrieval algorithms and air quality and climate models (including quantitative constraints on particle light-absorption properties), and to provide comprehensive aerosol hygroscopicity and mass extinction efficiency measurements to place those generally assumed in aerosol transport and climate modeling on firmer footing. Direct validation of specific satellite aerosol retrievals would be desirable when possible, but would be lower priority, as the *in situ* 585 measurements can be made with clouds above and/or below the aerosol layers, conditions that preclude some remote-sensing retrievals, and routine coordination would significantly complicate SAM-CAAM flight planning. Similarly, model validation can proceed by direct
590

comparison with the aircraft measurements, and comparisons with satellite products that are informed by the particle optical properties and MEEs obtained statistically from SAM-
595 CAAM. The latter is the higher priority, as the objective of the project is to characterize the major aerosol air masses statistically, thereby allowing improvement of both models and satellite products.

Evidently, there are at least three distinct perspectives on aerosol "type" in general climate and
600 air-quality applications: (1) as derived from space and ground-based ***remote sensing***, which amounts to a classification based on retrieved *optical* properties (often column-effective rather than layer-resolved), that constrain *ambient* size, shape, SSA, and refractive indices; (2) as observed from ***in-situ*** measurements of aerosol microphysical, chemical, and optical properties, often at modified temperature and humidity; and (3) as represented in ***models***, wherein aerosol
605 amount and type are defined by emitted mass and assumed or estimated particle microphysical properties, based on source inventory characteristics and parameterized particle evolution. The SAM-CAAM measurements would take a major step toward interrelating these three perspectives, helping create a unified aerosol picture for climate simulation, air quality assessment, and other applications.

610

As AERONET was initiated to support aerosol measurements from EOS, SAM-CAAM could be implemented in part to support a future mission, such as the NASA Decadal Survey's Aerosol-Cloud-Ecosystem (ACE) mission [NRC, 2007]. Also, similar to the AERONET structure, international entities might eventually deploy analogous aircraft payloads as part of a
615 federated system. If so, they could contribute their data to the central product-generation site for standard processing and distribution, thereby increasing the global sampling of aerosol air-mass types.

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620

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 1830.

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Appendix 1. Acronyms

AERONET – The Aerosol Robotic Network of surface-based sun and sky-scanning photometers

[*Holben et al.*, 1998]

635 AMS – Aerodyne Mass Spectrometer (#5 CMP)

[<http://www.aerodyne.com/products/aerosol-mass-spectrometer>]

AOD – Aerosol Optical Depth

BS/TS – Backscatter/Total-Scatter nephelometer (#3 GRO)

CAPS-SSA – Cavity Attenuated Phase Shift spectrometer (#1 EXT)

640 [<http://www.aerodyne.com/products/caps-pmssa-monitor>]

[<http://www.aerodyne.com/products/caps-pmex-monitor>]

CARIBIC – Civil Aircraft for the Regular Investigation of the atmosphere Based on an Instrument Container (#5 CMP) [Nguyen *et al.*, 2006; Andersson *et al.*, 2013;
<http://www.caribic-atmospheric.com>]

645 CDP – Cloud Droplet Probe (#14 A-CLD)

[<http://www.dropletmeasurement.com/products/airborne/CDP-2>]

CIP – Cloud Imaging Probe (#14 A-CLD)

CLAP – Continuous Light Absorption Photometer (#2 ABS)

COBALD-type sonde – Compact Optical Backscatter Aerosol Detector (#13 A-PHA)

650 [http://www.iac.ethz.ch/groups/peter/research/Balloon_soundings/COBALD_sensor]

COTS – Commercial, Off-the-Shelf, i.e., commercially available

CRD – Cavity Ring-Down optical spectrometer (#1 EXT)

[http://www.picarro.com/technology/cavity_ring_down_spectroscopy]

DMT-UHSAS – Droplet Measurement Technologies Ultra-High Sensitivity Aerosol

655 Spectrometer (#4 SIZ)

[<http://www.dropletmeasurement.com/products/ground-based/UHSAS>]

EOS – NASA's Earth Observing System

EPA PM2.5 – Environmental Protection Agency standard, Particulate Matter smaller than 2.5
 μm diameter

660 EPA PM10 – Environmental Protection Agency standard, Particulate Matter smaller than 10 μm
diameter

FAA – Federal Aviation Administration

Gerber PVM – Gerber Particle Volume, surface area, and effective radius Measurement (#14 A-
CLD) [<http://www.gerberscience.com/pvmaspecs.html>]

665 GPS – Geographic Positioning System

GRIMM 1.129 – GRIMM Aerosol Spectrometry Sky OPC (#4 SIZ)

- HOLODEC – HOLOgraphic DEtector for Clouds (#14 A-CLD) [*Baumgardner, et al., 2011*]
- HSRL – High-Spectral-Resolution Lidar (#15 HTS)
- HTDMA – Hygroscopic Tandem Differential Mobility Analyzer (#3 GRO)
- 670 [http://www.brechtel.com/HTDMA_brochure.pdf]
- ICOS – Integrated Cavity Output Spectrometry [*Paul et al., 2001*]
- LWC – Cloud Liquid Water Content (#14 A-CLD)
- MEE – particle Mass Extinction Efficiency (#7 MEE)
- MPL – Micro-Pulse Lidar (#15 HTS)
- 675 NASA – National Aeronautics and Space Administration
- NCAR – National Center for Atmospheric Research (Boulder, CO)
- NOAA – National Oceanographic and Atmospheric Administration
- OPC – Optical Particle Counter (#3 GRO)
- Open-INeph – UMBC Open (to the atmosphere) Imaging Nephelometer (#13 A-PHA)
- 680 PA – Photo-acoustic Analyzer (#2 ABS)
- PCASP – Passive Cavity Aerosol Spectrometer Probe (#14 A-CLD)
- [http://www.dropletmeasurement.com/products/airborne/PCASP-100X]
- PI-Neph – UMBC Polarized Imaging Nephelometer (#6 PHA) [*Dolgos et al., 2009*;
<https://airbornescience.nasa.gov/instrument/PI-Neph>]
- 685 PTRMS – Proton-transfer-reaction mass spectrometer (#9 CO, tracers)
[*Hansel et al., 1995*; http://www.ionicon.com/information/technology/ptr-ms]
- RH – Relative Humidity
- SAM-CAAM – Systematic Aircraft Measurements to Characterize Aerosol Air Masses
- SID2H – Small Ice Detector Version 2 (#14 A-CLD)
- 690 [http://data.eol.ucar.edu/codiac/dss/id=107.003]
- SMPS – Scanning Mobility Particle Sizer spectrometer (#4 SIZ)

[<http://www.tsi.com/scanning-mobility-particle-sizer-spectrometer-3936/>]

SP2 – Single Particle Soot Photometer (#2 ABS)

[<http://www.dropletmeasurement.com/sites/default/files/ManualsGuides/SP2/Operator.pdf>]

695 SSA – aerosol Single-Scattering Albedo

SSFR – Solar Spectral Flux Radiometer (#12 A-EXT)

4STAR – Spectrometer for Sky-Scanning, Sun-Tracking Atmospheric Research (#12 A-EXT)

TSI-LAS – TSI Inc. Laser Aerosol Spectrometer (#4 SIZ)

[<http://www.tsi.com/laser-aerosol-spectrometer-3340/>]

700 UH – University of Hertfordshire

UMBC – University of Maryland, Baltimore County

UW – University of Washington, Seattle

WELAS – White Light scattering Aerosol Spectrometer (#4 SIZ)

[<http://www.filterintegrity.com/PTAS/PandS/Products/welasmain.html>]

705 WHOPS – White-light Humidified Optical Particle Spectrometer (#3 GRO)

[<http://www.psi.ch/lac/eu-pegasos>; <http://eu-pegasos.blogspot.com/p/psi-rack.html>]

WVSS – atmospheric Water Vapor Sensing System (#10 T; P; RH)

[<http://www.spectrasensors.com/wvss/>]

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*Numbers in parentheses indicate entries in the Required Measurements and Payload Options tables. Literature citations and web addresses are included, as available. Note that acronyms from the Supplemental Material are included in this list.

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Table 1. Required Variables

Instrument types for Payload Option C are given in square brackets under each variable; abbreviations are listed in Appendix 1. Note that the variables listed here are required to reduce the uncertainties in key Geophysical Quantities derived from remote-sensing, such as aerosol amount and type, cloud-condensation nuclei (CCN) occurrence, etc., as well as in using these quantities to constrain climate and air-quality models. Specific, example instruments for all four payload options are given in Supplemental Material.

I. Aerosol Properties Derived from the Integrated Analysis of *In Situ* Measurements**1. Spectral extinction coefficient (EXT)**

- To constrain satellite Aerosol Optical Depth (AOD) retrievals

[6-channel 3-color **CRD** (2 size cuts – 1&10 μm ; 4 channels at low RH) + 2 for #3 GRO]

2. Spectral absorption (ABS) or single-scattering albedo

- To constrain AOD retrievals, and to determine atmospheric absorption and heating

[Dual 3-channel **filter absorption** (2 size cuts – 1&10 μm at low RH)

(matched to (#1 EXT), (#6 PHA)) + **refractory carbon**]

3. Particle hygroscopic growth factor (GRO)

- To connect particle properties over the full range of instrument and ambient RH
 935 conditions

[2-channel **CRD** (from #1 EXT) at high RH + humidified **OPC & PI-Nephelometer**]

- 940 4. **Particle size** (SIZ) (*at least* three bins in number concentration, though detailed size distribution probably needed to meet primary objectives)

- As a complement to chemical composition discrimination
 - Required for deriving (#7) MEE

[**SMPS + Fine-OPC + Coarse-OPC + Active inlet** to 50% at 10 μm]

945 5. **Particle composition** (CMP)

- For source identification
 - To classify measurements in terms of aerosol type as specified in most models, e.g., sea salt, sulfate, mineral dust, black carbon (BC), brown carbon (BrC), especially important for aerosol-cloud-interaction modeling
 - To support deriving the anthropogenic fraction, which is needed to calculate direct aerosol “climate” forcing from space-based retrievals, and for air quality applications
 950 - CMP would be constrained by analysis of *detailed chemical and/or microphysical properties*, such as **Elemental Carbon** (EC) concentration and particle shape

[**Dual Filter Stations** (2 size cuts)]

955 6. **Spectral single-scattering phase function** (PHA) [all possible angles]

- To constrain multi-angle radiance AOD retrievals
 - To calculate radiation fields

- *Polarized* – to help determine aerosol type, and to constrain remote-sensing observations where polarized data are included

960 [PI-Nephelometer + dryer/ humidifier, with PM10 size range and 3 wavelengths matched to #1 EXT and #2 ABS]

7. Mass extinction efficiency (MEE)

- To translate between optical remote-sensing measurements and model parameters
- Derived from integrated analysis of particle size distributions, with density deduced from particle compositional constraints

965 [Derived from integrated analysis of measured variables]

8. Real Refractive Index (RRI)

- To constrain AOD retrievals to the level-of-detail required for aerosol forcing
- [Inverted from PI-Nephelometer (from PHA #6) & Open-I Nephelometer (from A-EXT #12)]

975

II. Variables Providing Meteorological Context

9. Carbon Monoxide (CO; also possibly CO₂, NO₂, O₃)

- As a tracer for smoke, to help distinguish smoke from urban pollution in some cases
- [Cavity Ringdown CO & NO₂ ICOS spectrometers + O₃]

980

10. Ambient temperature (T) and Relative humidity (RH)

- To help interpret ambient measurements

- To translate between instrument and ambient conditions

[T, P, RH]

985

11. Aircraft 3-D location (LOC)

- To relate aircraft measurements to any available satellite observations,
and to model simulations

[GPS]

990

III. Variables Providing Ambient, Remote-Sensing Context

12. Ambient Spectral single-scattering phase function (A-PHA) [all possible angles]

- To constrain remote-sensing AOD retrievals and assess in-aircraft measurements
by comparing with ambient conditions
- To help calculate radiation fields
- *Polarized* – to help determine aerosol type, and to constrain remote-sensing retrievals
where polarized data are included

1000 **[Open-I-Nephelometer + external CRD + surf. sun photometer & lidar**

targets of opportunity]

13. Ambient Spectral extinction coefficient (A-EXT)

- To constrain remote-sensing AOD retrievals and assess in-aircraft measurements
by comparing with ambient conditions

1005 **[Open-I-Nephelometer (from A-EXT #12) + internal PI-Nephelometer**

(from #6 PHA) dry reference]

14. Large particle / cloud probe (A-CLD)

- 1010 - To provide some information about dust and other particles larger than the inlet size cut
- As an independent measure of possible cloud impact on the reliability of other data

[Small Droplet Probe + Ice Probe]

15. Aerosol layer heights (HTS)

- 1015 - To determine flight levels for subsequent direct sampling
- To correlate with meteorological conditions
- As a constraint on trajectory modeling to identify aerosol sources and evolution

[Airborne backscatter lidar]

1020

Supplemental Material

1025 The Supplemental Material contains an example of climatologically accessible aerosol-air-mass-types from a single site, along with some specifics of an example aircraft and payload, to demonstrate the ***feasibility*** of the SAM-CAAM concept. These are not part of the main text because no actual decisions have been made about specific sties, instruments, or aircraft for this project concept.

1030

Table S1. Payload Options

Required Measurement	Payload Option A	Payload Option B	Payload Option C	Payload Option D (addl. objectives)	Definition Team Lead(s)
AEROSOL PROPERTIES FROM <i>IN SITU</i> MEASUREMENTS AND INTEGRATED ANALYSIS					
1	EXT spectral extinction	Internal 1-color CAPS-SSA	3-color CRD and/or 3 1-color CAPS-SSA	6-channel 3-color CRD (2 size cuts – 1&10 μm ; 4 ch @ low RH)	Option C + UV and/or near-IR
2	ABS spectral absorption	CLAP + [CRD (#1); neph (#6)]	Option A	Dual 3-channel NOAA CLAP (2 size cuts – 1&10 μm @	Option C + PA (photoacoustic) Ogren; Murphy

				low RH) [matched to (#1 EXT), neph (#6)] + SP2		
3	GRO hygroscopic growth	humidified CRD or Humidified 3- λ BS/TS nephelometer	Option A [integrated with 3-color CRD (#1)]	2 ch. CRD [#1 EXT] @highRH + humid. OPC + humid. PI- neph. [or dual TS/BS neph.]	Option C + HTDMA	Ogren; Hegg; Murphy; Martins
4	SIZ particle size	<i>Passive inlet</i> to 50% at 2.5 μ m; Fine-OPC [†] : [DMT-UHSAS or TSI-LAS]	<i>Passive inlet</i> ; SMPS + TSI-LAS	<i>Active inlet</i> to 50% at 10 μ m; SMPS + Fine-OPC [†] + GRIMM1.129	<i>Active inlet</i> ; Option B + GRIMM1.129	McNaughton; Seinfeld
5	CMP particle composition + mass	CARIBIC impactor	AirPhoton Filter Station	Dual Option B (2 size cuts)	Option B + mini-AMS	Martins; Worsnop
6	PHA phase function	TS/BS neph	UMBC PI-Neph + dryer/	Option B, with PM10 size range, at three wavelengths	Dual Option C 2 polar neph. with dryer/	Martins; Ogren

			humidifier	matched to #1 EXT and #2 ABS	humidifier	
7	MEE mass- extinction efficiency	Derived from integrated analysis of measured variables				
8	RRI real refr. index	Calculated from PHA, EXT, ABS, SIZ	Inverted from PI-Neph & Open-INeph	Option B	Option B	Martins; Ogren
		Derived from integrated analysis of measured variables				
METEOROLOGICAL CONTEXT						
9	CO, Tracers	Los Gatos Research CO ICOS spectrometer	Option A + 2B technologies O_3	Option B + Los Gatos Research NO_2 ICOS spectrometer	Option B + Ionicon PTRMS	Hanisco
10	T; P; RH	Vaisala	--	--	Option A + extra RH	Hanisco
11	LOC	Garmin GPS	--	--	--	
AMBIENT REMOTE-SENSING CONTEXT						
12	A-EXT & A-ABS ambient	UMBC Open-INeph [+ ratio ABS/EXT]	Option A + [ground sun photometer +	Option B + external CRD	Option C + airborne sun photometer	Martins; Murphy

	extinction & absorption		ground lidar <i>targets of opportunity]</i>			
13	A-PHA ambient phase function	UMBC Open-INeph	Option A + [internal PI-Neph (#6 PHA option B) as dry reference]	--	180° Bkscatr. lidar or COBALD type sonde	Martins
14	A-CLD ambient cloud properties & giant particles	Liquid Water Content [or Improved Gerber PVM-100 when available]	Option A + PCASP-100X	PCASP-100X + SID2H [or CDP]	Option C + holographic imaging [or CIP]	Hegg, McNaughton
		Size ranges covered	N/A	0.1-3.0 µm + 2.0-60.0 µm [or 3.0-50.0 µm]	0.1-3.0 µm + 2-1000 µm [or 15.0 - 930 µm] + 2.0 - 60.0 µm [or 3.0 - 50.0 µm]	
15	HTS layer height	<i>Aircraft flies vertical spirals</i>	Ceilometer	airborne MPL backscatter lidar	airborne HSRL§	Berkoff; Ferrare

* We consider four payload options, of increasing capability and associated cost. Acronyms and

references to background material for specific technologies are given in Appendix 1. Also note that

1035 a COTS camera for context imaging would be included in Payloads C and D if one is not part of the aircraft facilities.

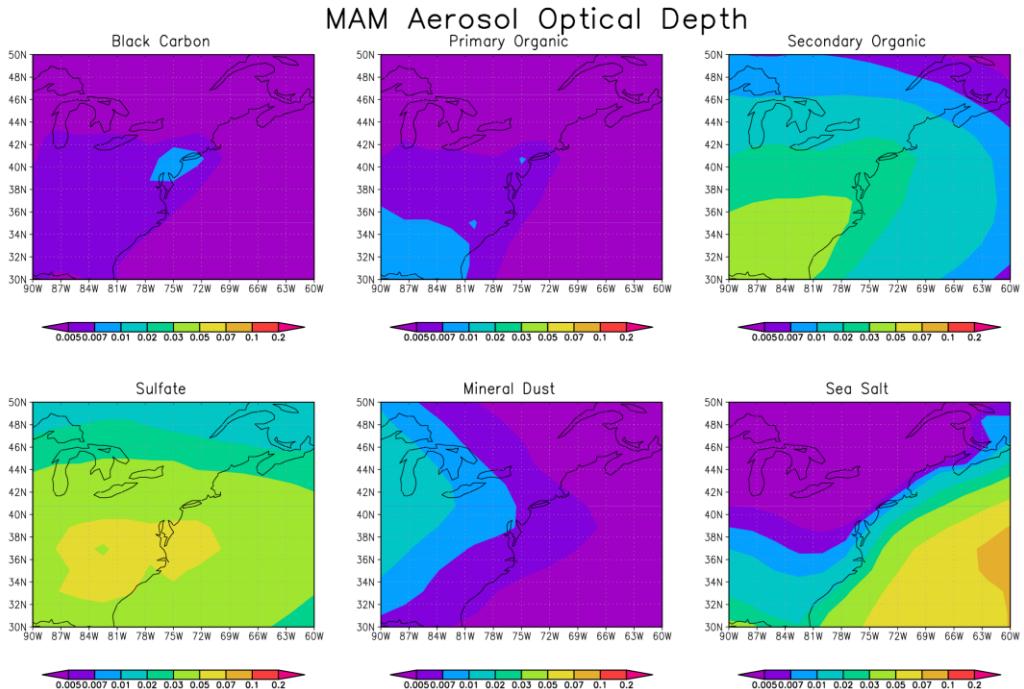
§ E.g., *Hair et al.*, 2008; https://www.eol.ucar.edu/system/files/HSRL_brochure_2013_web.pdf;
<http://science.larc.nasa.gov/hsrl/>

† There is a possible tradeoff between size-range and reliability for the Fine-OPC options; if the
1040 TSI-LAS is selected, this might impact the paired choices for #3 GRO and #14 A-CLD.

1045

Example of Model-Based Climatological Aerosol-Air-Mass Locations

Accessible from an Aircraft Operations Station



1050

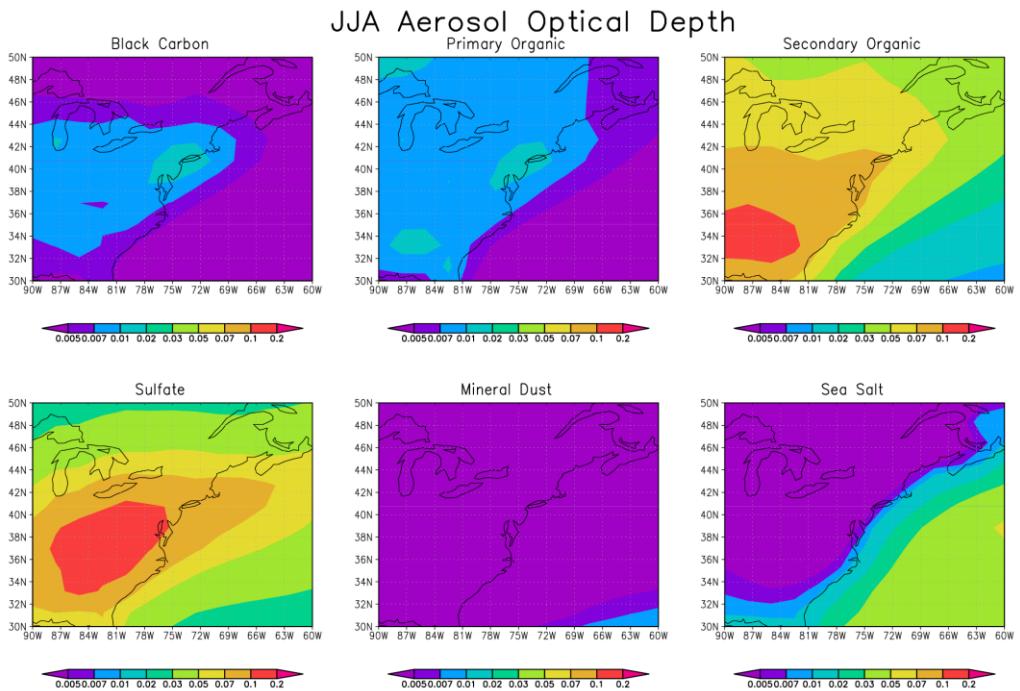


Figure S1. AOD maps for six aerosol types for the spring (MAM, upper six panels) and summer
1055 (JJA, lower panels), covering a ~500 km region centered on the NASA Wallops Flight Facility
(WFF) on the Eastern Shore of Virginia, derived from CAM5 model climatological simulations.

1060 Example Aircraft Integration Plan for SAM-CAAM Payload Option C

This section describes the installation of the candidate SAM-CAAM Payload Option C instruments (Table S1) on an example aircraft, a NASA C-23B “Sherpa”. This aircraft represents a class of unpressurized, twin-engine turboprops that is suitable for this project
1065 in terms of payload capacity, range, ceiling, and space. There are several such aircraft that might be equally or more appropriate for the mission requirements. As is the case for many unpressurized aircraft, mounting of inlets and external probes on the Sherpa would require modification to the airframe to add support structure for aerodynamic and structural loads. In the notional layout described here, external probes and the inlet are
1070 mounted on the belly of the aircraft, that has a flat surface with minimal aerodynamic perturbations upstream and that has substantial floor structure for mounting. Issues with debris and spray from the retractable nose wheel would have to be addressed for such an installation to succeed.

1075 An inlet that efficiently samples the sub-10 μm aerosol with quantifiable biases is required for the SAM-CAAM Option C science objectives. Currently only the low turbulence inlet [*Wilson et al., 2004; Huebert et al., 2004*] and the Twin Otter Inlet [*Hegg et al., 2005*] have quantified performance to these large diameters. Such inlets are large, may have active components (e.g., pumps) and require careful design, installation, and evaluation.

1080 They are considered instruments in their own right.

Table S2 describes the characteristics of the NASA C-23B Sherpa aircraft. This aircraft has ample available space and weight capacity, and a \sim 1600 km range. The practical maximum

altitude of the aircraft (~6 km) might be limiting in some cases, such as the subtropical
1085 Atlantic, where optically important Saharan dust might be found at higher altitudes.
Supplemental oxygen would be required for the portions of flights above ~3 km altitude.

Table S2: C23B Sherpa characteristics¹

Science power available	8 760 W
Empty operating weight	8 391 kg
Maximum takeoff weight	12 292 kg
Cargo/passenger/seat weight with full fuel	1 828 kg
Instrument/rack weight (from Table S3)	953 kg
Max altitude (no oxygen)	3 048 m
Max altitude with oxygen	8 534 m
Typical cruising speed	93-118 m s ⁻¹
Endurance	3-5 hrs.
Range	1100-2000 km

¹Source: C-23 Sherpa (N430NA) Experimenter Handbook

1090 Table S3 shows the accommodation of the example SAM-CAAM payload in three racks. Two instruments, the polar imaging nephelometer and the aerosol scattering lidar are mounted on the floor adjacent to the racks. Hydrometeor probes are mounted to sides of the aircraft where panels exist, and external optical sensors on the aircraft belly forward of the main (fixed) landing gear. The aerosol inlet is also mounted to the aircraft belly in this configuration.

Figure S2 is a photo of the NASA C-23B in flight. Figure S3 is a sketch of the locations of the racks and the external probes. Seats aft of each rack (not shown) could accommodate three or more instrument operators. External sensors and inlets are shown offset from the centerline to reduce debris and spray from the nose wheel.

Table S3. Demonstration rack configuration for SAM-CAAM Payload Option C.[§]

Instrument	Weight (kg)	Power			Location
		Component	Consumption (W)	Rack Height	
<u>Rack 1: Coarse Aerosol Properties</u>					
Cavity	96	2 000	18		rack
Ringdown					
Spectrometer					
Polar Imaging	45 on floor	350	N/A,		floor,
Nephelometer	19 in rack		10		rack
Laser Aerosol	28	200	5		rack
Spectrometer					
Grimm Optical	18	50	3		rack
Particle					
Counter					
AirPhoton	22	130	2		rack
Filter System					
Continuous	3	50	2		rack

Light				
Absorption				
Spectrometer				
Inlet Control	9	35	3	rack
Uninterruptible	23	200	3	rack
Power Supply				

Rack 2: Fine Aerosol Properties

Tandem	46	1 000	8	rack
Differential				
Mobility				
Analyzer				
Single Particle	62	12	12	rack
Soot				
Photometer				
NO ₂ , CO, O ₃	91	540	19	rack
T, P, RH	2	40	3	rack

Rack 3: Ambient/Remote Context

Open-path	23	120	N/A	pylon
Cavity				
Ringdown				
Spectrometer				
Open-path	18	120	6	rack

Cavity				
Ringdown				
Spectrometer				
Data system				
Open-path	102	1 030	N/A	2 pylons: active and
Imaging				
Nephelometer				receiving
O-I-Neph data system	10	120	4	rack
Small Ice	27	520	N/A	canister on
Detector 2H				forward fuselage
SID data system	20	150	4	rack
PCASP-100X	20	540	N/A	canister on forward fuselage
PCASP-data system	25	200	4	rack
Nadir	25	200	N/A	Floor mount
Scattering Lidar				above viewing port

Lidar	45	500	14	rack
power/data system				
Housekeeping	68	200	14	rack
data system				
Total Rack 1	218 in rack	3015	46	
	45 on floor			
Total Rack 2	201	1592	42	
Total Rack 3	186 in rack, 197 elsewhere	3700	46	
Total	952 kg (includes 105 kg for racks)	8307 W (8760 available)	134 U (~160 available)	

[§] A small context camera would also be included in the payload.



1105

Figure S2. NASA C-23B Sherpa in flight. Note the flat bottom surface, retracted nose wheel, and non-retractable main landing gear.

1110

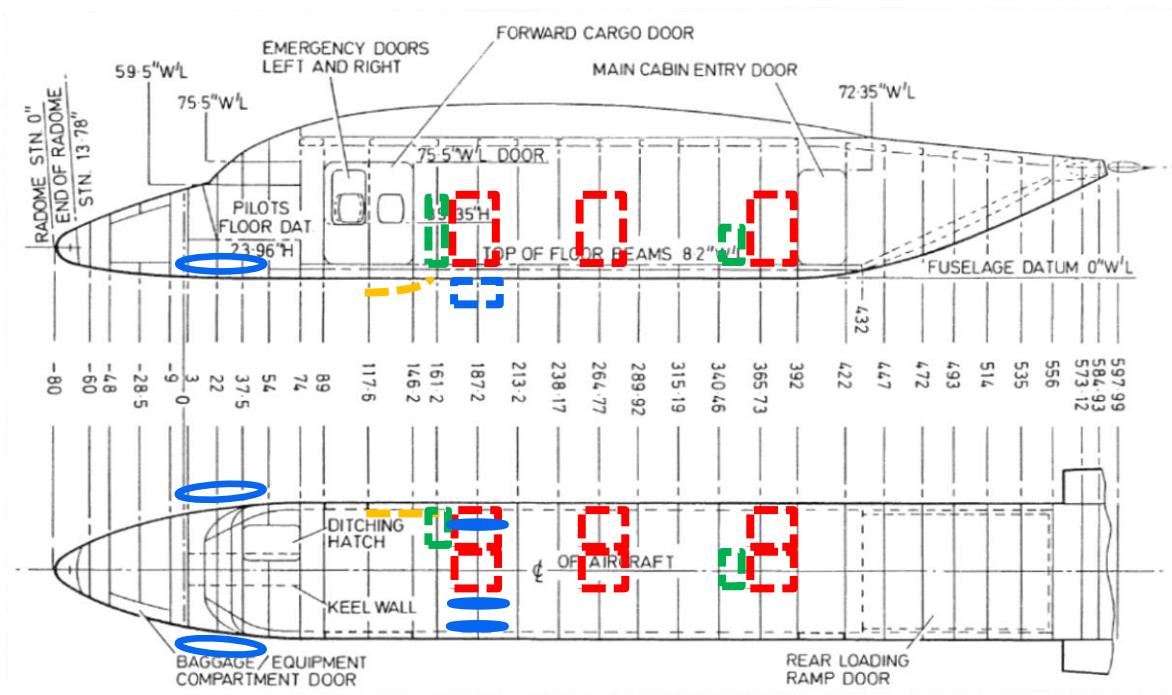


Figure S3. Schematic of a notional layout of the SAM-CAAM Payload Option C in the

NASA C-23B Sherpa aircraft. Two-bay racks are shown in red, in-cabin floor-mounted

1115

instruments in green, external probes in blue, and the aerosol inlet in gold.